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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	021932-2
First Inventor or Application Identifier	Robert C. Slane
Title	Establishing and Managing Grantor Retained Annuity Trusts Funded by Nonqualified Stock Options
Express Mail Label No.	EJ587172328US

APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i>		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)		5. <input type="checkbox"/> Microfiche Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Specification [Total Pages 21] (preferred arrangement set forth below)		6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)	
- Descriptive title of the Invention		a. <input type="checkbox"/> Computer Readable Copy	
- Cross References to Related Applications		b. <input type="checkbox"/> Paper Copy (identical to computer copy)	
- Statement Regarding Fed sponsored R & D		c. <input type="checkbox"/> Statement verifying identity of above copies	
- Reference to Microfiche Appendix			
- Background of the Invention		ACCOMPANYING APPLICATION PARTS	
- Brief Summary of the Invention		7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
- Brief Description of the Drawings (if filed)		8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (when there is an assignee)	
- Detailed Description		9. <input type="checkbox"/> English Translation Document (if applicable)	
- Claim(s)		10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
- Abstract of the Disclosure		11. <input type="checkbox"/> Preliminary Amendment	
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 5]		12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
4. Oath or Declaration [Total Pages 2]		13. <input type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)	
a. <input checked="" type="checkbox"/> Newly executed (original or copy)		14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)		15. <input type="checkbox"/> Other: _____	
i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).			
<p>* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</p>			
<p>16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: _____</p> <p>Prior application information: Examiner _____ Group / Art Unit: _____</p> <p>For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>			

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	Dominic J. Chiantera				
	Moore & Van Allen, PLLC				
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Country	United States	Telephone	919-286-8000	Fax	919-286-8104

Name (Print/Type)	Dominic J. Chiantera	Registration No. (Attorney/Agent)	27,776
Signature	<i>Dominic J. Chiantera</i>	Date	12/1/99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL
for FY 1999

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 554.00)**Complete if Known**

Application Number	
Filing Date	
First Named Inventor	Robert C. Slane
Examiner Name	
Group / Art Unit	
Attorney Docket No.	021932-2

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 13-4365

Deposit Account Name Moore & Van Allen, PLLC

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Money Order ☐ Other**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130	205 65	Surcharge - late filing fee or oath
127	50	227 25	Surcharge - late provisional filing fee or cover sheet.
139	130	139 130	Non-English specification
147	2,520	147 2,520	For filing a request for reexamination
112	920*	112 920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action
115	110	215 55	Extension for reply within first month
116	380	216 190	Extension for reply within second month
117	870	217 435	Extension for reply within third month
118	1,360	218 680	Extension for reply within fourth month
128	1,850	228 925	Extension for reply within fifth month
119	300	219 150	Notice of Appeal
120	300	220 150	Filing a brief in support of an appeal
121	260	221 130	Request for oral hearing
138	1,510	138 1,510	Petition to institute a public use proceeding
140	110	240 55	Petition to revive - unavoidable
141	1,210	241 605	Petition to revive - unintentional
142	1,210	242 605	Utility issue fee (or reissue)
143	430	243 215	Design issue fee
144	580	244 290	Plant issue fee
122	130	122 130	Petitions to the Commissioner
123	50	123 50	Petitions related to provisional applications
126	240	126 240	Submission of Information Disclosure Stmt
581	40	581 40	Recording each patent assignment per property (times number of properties)
146	760	246 380	Filing a submission after final rejection (37 CFR § 1.129(a))
149	760	249 380	For each additional invention to be examined (37 CFR § 1.129(b))
Other fee (specify) _____			
Other fee (specify) _____			

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101	760	201 380	Utility filing fee
106	310	206 155	Design filing fee
107	480	207 240	Plant filing fee
108	760	208 380	Reissue filing fee
114	150	214 75	Provisional filing fee

SUBTOTAL (1) (\$380.00)**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
35	-20** = 15	X 9 = 135	
4	-3** = 1	X 39 = 39	
Multiple Dependent			174

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103	18	203 9
102	78	202 39
104	260	204 130
109	78	209 39
110	18	210 9

SUBTOTAL (2) (\$ 174.00)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**

Name (Print/Type) Dominic J. Chientera

Registration No. 27,776
(Attorney/Agent)**Complete (if applicable)**

Telephone 919-286-8000

Signature

Date 12/1/99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EXPRESS MAIL CERTIFICATE

EXPRESS MAIL LABEL NO.: EJ587172328US

Date of Deposit: December 1, 1999

Applicant: Robert C. Slane

For: Establishing and Managing Grantor Retained Annuity Trusts Funded by Nonqualified Stock Options

I hereby certify that the following documents:

Express Mail Certificate, and

1. Utility Patent Application Transmittal (PTO/SB/05);
2. Fee Transmittal for FY 1999 (PTO/SB/17);
3. 21 pages of specification including claims and abstract;
4. 5 drawing sheets;
5. Declaration for Utility or Design Application (PTO/SB/01);
6. Check in the amount of \$380.00 for the filing fee;
7. Check in the amount of \$174.00 for the extra claims;
8. A return acknowledgment postcard

are being deposited in a single envelope with the United States Postal Services "Express Mail" service under 37 C.F.R. 1.10 on the date indicated above and such envelope is addressed to Assistant Commissioner for Patents and Trademarks, Box: Patent Application, Washington, D.C. 20231.

Kim Oakley
(Name of Person Mailing Documents)

K. Oakley
(Signature of person mailing documents)